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3C944 U.S. PTO

PTO/SB/05 (03-01)  
Approved for use through 10/31/2002, OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
to a collection of information unless it displays a valid OMB control number.

|                        |   |                         |
|------------------------|---|-------------------------|
| Attorney Docket No.    |   | H0002284                |
| First Inventor         |   | Gerald Eugene Tornquist |
| Title                  | Improved Rotor End Caps and a Method Of . . |                         |
| Express Mail Label No. | EL645038798US                               |                         |

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

|             |  |
|-------------|--|
| ADDRESS TO: | Assistant Commissioner for Patents<br>Box Patent Application<br>Washington, DC 20231 |
|-------------|--|

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 20]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
5. Oath or Declaration [Total Pages 4]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
8. Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all necessary*)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

9. ☒ Assignment Papers (cover sheet & document(s))  
 10. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
*(when there is an assignee)*  
 11. ☐ English Translation Document *(if applicable)*  
 12. ☒ Information Disclosure ☒ Copies of IDS  
 Statement (IDS)/PTO-1449 Citations  
 13. ☐ Preliminary Amendment  
 14. ☒ Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*  
 15. ☐ Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*  
 16. ☐ Nonpublication Request under 35 U.S.C. 122  
 (b)(2)(B)(i). Applicant must attach form PTO/SB/35  
 or its equivalent.  
 17. ☒ Other: Specification Cover Sheet  
Certificate of Mailing


18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

|   |  |   |  |   |  |
|---|--|---|--|---|--|
| <input checked="checked" type="checkbox"/> <i>Customer Number or Bar Code Label</i> |  | <div style="border: 1px solid black; padding: 5px; text-align: center;"> <b>000128</b><br/> <small>(Insert Customer No. or Attach bar code label here)</small> </div> |  | or <input type="checkbox"/> <i>Correspondence address below</i> |  |
| Name  |  |   |  |   |  |
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| City  |  | State   |  | Zip Code  |  |
| Country   |  | Telephone   |  | Fax   |  |

|                   |   |                                   |          |
|-------------------|---|-----------------------------------|----------|
| Name (Print/Type) | Janine Rickman Novatt   | Registration No. (Attorney/Agent) | 32,593   |
| Signature         |  | Date                              | 11/16/01 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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j1046 U.S. PRO  
09/991501



11/16/01

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**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

**Complete if Known**

|                      |                             |
|----------------------|-----------------------------|
| Application Number   |                             |
| Filing Date          | Filed concurrently herewith |
| First Named Inventor | Gerald Eugene Tornquist     |
| Examiner Name        |                             |
| Group Art Unit       |                             |
| Attorney Docket No.  | H0002284                    |

**TOTAL AMOUNT OF PAYMENT** (\$948.00)**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

|                        |                     |
|------------------------|---------------------|
| Deposit Account Number | 17-0055             |
| Deposit Account Name   | Quarles & Brady LLP |

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- Payment Enclosed:**

☐ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 740                    | 201 370                    | Utility filing fee     | 740.00   |
| 106 330                    | 206 165                    | Design filing fee      |          |
| 107 510                    | 207 255                    | Plant filing fee       |          |
| 108 740                    | 208 370                    | Reissue filing fee     |          |
| 114 160                    | 214 80                     | Provisional filing fee |          |

**SUBTOTAL (1)** (\$740.00)**2. EXTRA CLAIM FEES**

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 18                 | -20** =      | X              | = 0.00   |
| 5                  | -3** =       | X 84           | = 168.00 |
| Multiple Dependent |              |                |          |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|----------------------------|----------------------------|--|
| 103 18                     | 203 9                      | Claims in excess of 20                                     |
| 102 84                     | 202 42                     | Independent claims in excess of 3                          |
| 104 280                    | 204 140                    | Multiple dependent claim, if not paid                      |
| 109 84                     | 209 42                     | ** Reissue independent claims over original patent         |
| 110 18                     | 210 9                      | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$168.00)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130                    | 205 65                     | Surcharge - late filing fee or oath  |          |
| 127 50                     | 227 25                     | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130                    | 139 130                    | Non-English specification  |          |
| 147 2,520                  | 147 2,520                  | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 920*                   | 112 920*                   | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840*                 | 113 1,840*                 | Requesting publication of SIR after Examiner action                        |          |
| 115 110                    | 215 55                     | Extension for reply within first month                                     |          |
| 116 400                    | 216 200                    | Extension for reply within second month                                    |          |
| 117 920                    | 217 460                    | Extension for reply within third month                                     |          |
| 118 1,440                  | 218 720                    | Extension for reply within fourth month                                    |          |
| 128 1,960                  | 228 980                    | Extension for reply within fifth month                                     |          |
| 119 320                    | 219 160                    | Notice of Appeal   |          |
| 120 320                    | 220 160                    | Filing a brief in support of an appeal                                     |          |
| 121 280                    | 221 140                    | Request for oral hearing   |          |
| 138 1,510                  | 138 1,510                  | Petition to institute a public use proceeding                              |          |
| 140 110                    | 240 55                     | Petition to revive - unavoidable   |          |
| 141 1,280                  | 241 640                    | Petition to revive - unintentional   |          |
| 142 1,280                  | 242 640                    | Utility issue fee (or reissue)   |          |
| 143 460                    | 243 230                    | Design issue fee   |          |
| 144 620                    | 244 310                    | Plant issue fee  |          |
| 122 130                    | 122 130                    | Petitions to the Commissioner  |          |
| 123 50                     | 123 50                     | Processing fee under 37 CFR 1.17(q)  |          |
| 126 180                    | 126 180                    | Submission of Information Disclosure Stmt                                  |          |
| 581 40                     | 581 40                     | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146 740                    | 246 370                    | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 740                    | 249 370                    | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 740                    | 279 370                    | Request for Continued Examination (RCE)                                    |          |
| 169 900                    | 169 900                    | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$40.00)**SUBMITTED BY**

|                   |                              |                                   |          |           |                |
|-------------------|------------------------------|-----------------------------------|----------|-----------|----------------|
| Name (Print/Type) | Janine Rickman Novatt        | Registration No. (Attorney/Agent) | 32,593   | Telephone | (602) 229-5725 |
| Signature         | <i>Janine Rickman Novatt</i> | Date                              | 11/16/01 |           |                |

**Complete (if applicable)****WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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**EXPRESS MAIL CERTIFICATE: EL645038798US**

I hereby certify that this correspondence listed below is being deposited with the United States Postal Service on the date set forth below as Express Mail in an envelope addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, DC, 20231.

Date of Signature  
and Deposit: 11/16/01

By: *Suzie Shields*  
(Signature of person depositing mail)

Suzie Shields

**CERTIFICATE OF MAILING PURSUANT TO 37 C.F.R. 1.10**

In re Application of:

Gerald Eugene Tornquist et al.

Serial No.: To be assigned

Filed: Filed Concurrently Herewith

For: **Improved Rotor End Caps and a  
Method of Cooling a High Speed Generator**

Docket No.: H0002284

Group Art Unit:

Examiner:

Assistant Commissioner for Patents

Box Patent Application

Washington, DC, 20231

Type of Filing:

- 1) Transmittal letter
- 2) Fee Transmittal
- 3) Patent Application (20 pages plus cover sheet )
- 4) Informal drawings (7 sheets)
- 5) Executed Declaration
- 6) Executed Assignment and Recordation Cover Sheet
- 7) Executed Powers of Attorney
- 8) PTO Form 1449
- 9) Copies of IDS Citations
- 10) Return receipt postcard

PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

11/28/2001 MWOLDER1 00000050 170055 09991501

|           |           |
|-----------|-----------|
| 01 FC:101 | 740.00 CH |
| 02 FC:102 | 168.00 CH |

PTO-1556  
(5/87)

\*U.S. GPO: 2000-468-987/39595